

**STATE OF ALABAMA
DEPARTMENT OF REVENUE**

INVITATION TO BID

FOR

**ELECTRONIC TITLE PROCESSING
SYSTEM**

SECTION I

- I.1. PURPOSE OF THIS DOCUMENT AND ISSUING AGENCY: This document entitled “Invitation to Bid for Electronic Title Processing System” is issued by the Alabama Department of Revenue hereinafter referred to as ADOR. The overall purpose of this Invitation to Bid (ITB) is to provide information to Vendors interested in preparing and submitting bids to meet the ADOR’s Motor Vehicle Division’s requirements for the Electronic Title Processing System as defined in Exhibit A – Electronic Title Processing System Description of Services Required.

The application design documentation, program code and logic, script and Internet code must be placed in escrow in the event of vendor dissolution.

The contract, if awarded, will be for a period of one (1) year with the option of renewing for two (2) additional one-year periods based on the same terms, pricing and conditions. Continuation of any agreement between ADOR and Vendor beyond a fiscal year is contingent upon the receipt of sufficient funds from the Alabama Legislature. Non-availability of funds at any time will cause any agreement to become void and unenforceable and no liquidated damages will accrue to ADOR as a result. ADOR will not incur liability beyond the accrued payments as of the official date of non-availability of funds. For other than “non-availability of funds” circumstances, either party must notify, in writing, the other of the intent not to renew at least 180 days ahead of the annual renewal.

- I.2. RESPONSE PREPARATION AND PROPOSAL FORMAT:

Each bid will address, with a written response of compliance, each requirement in all sections. Vendors are required to provide a time phased schedule showing the major milestones involved in implementing this project. The milestone accomplishment target dates must be expressed in terms of “D” plus “X” where “D” represents the contract award date and “X” represents the number of days (not to exceed 180 days) subsequent to contract award that the milestone will be accomplished

Each bid response must address, with a written response of compliance, each requirement in all sections relevant to the services priced. Failure to respond to a specific requirement may be the basis for a Vendor being eliminated from consideration. A restatement of the requirement and an affirmation of the bidder’s compliance will be considered a failure to respond.

Each bid must provide pricing as outlined in SECTION II – BID FORMAT AND PRICING.

- I.3. MANDATORY PRE-BIDDER CONFERENCE: A mandatory Pre-Bidder Conference is scheduled (refer to the ITB Terms and Conditions for date time, and location). Only Vendors attending the Pre-Bidder Conference will be allowed to submit a bid response. Vendors will be required to register as they enter the Pre-Bidder Conference. All questions must be received no later than three (3) business days prior to Pre-Bidder Conference. Questions must be emailed to Mike Gamble mike.gamble@revenue.alabama.gov and copied to Jaeri Ellis, Purchasing Division, Alabama Department of Finance, jaeri.ellis@purchasing.alabama.gov. All questions and responses will be distributed to only those Vendors attending the conference.
- I.4. BID SUBMISSIONS: Each Vendor is required to submit one (1) original and three (3) copies of their bid. The bid must state the legal name of the company, be signed by an authorized representative of the company, and be notarized. The Bidder certifies by submission of this bid and resultant contract that the Bidder has not publicly or privately colluded with any other Bidder to fix prices or conditions of this contract.
- I.5. INCURRING COSTS: ADOR is not liable for any cost or damages incurred by a Vendor in responding to this ITB.
- I.6. ORAL PRESENTATIONS/DEMONSTRATIONS:
- A. Vendors may be required by ADOR to make oral presentations to supplement their bid.
 - B. Vendors may be required by ADOR to provide a demonstration, at a production facility, showing that the services offered meet the specifications as described herein.
- I.7. CONTRACTOR RESPONSIBILITIES: ADOR will consider the selected Vendor to be the only point of contact regarding contractual matters, including performance of services and the payment of any and all charges resulting from contract obligations. The Vendor will provide prompt, efficient and courteous service, and avoid undue interference with other State operations.
- I.8. MOTOR VEHICLE OPERATIONS MANAGER: The Motor Vehicle Operations Manager, to be appointed by the Motor Vehicle Division Director, will serve as ADOR's liaison with the Vendor during the period of the contract. The responsibilities of the Motor Vehicle Operations Manager include, but are not limited to: coordinating the technical aspects of this contract, inspecting items/services furnished hereunder, determining the adequacy of performance by the Vendor in accordance with the terms and conditions of this contract, acting as the Motor Vehicle Division Director's representative, ensuring compliance with contract requirements insofar as the work is concerned, advising the Motor Vehicle Division Director of any factors which may cause delays in performance of the work, and conducting such reviews as required. The Motor Vehicle Operations Manager will not be authorized to change any terms and conditions of the resultant contract(s), including price.

- I.9. CONFIDENTIALITY AND USE OF DATA: Data provided to the selected Vendor by ADOR must be used only for the performance of the contract resulting from this ITB. Any other uses of such data are strictly forbidden. The minimum-security criteria are defined in “Exhibit B - Security Standards for Vendors”.
- I.10. PERFORMANCE GUARANTEE: Upon award, the selected vendor will be asked to provide the State, within ten (10) working days of notification of award, a performance guarantee, approved by the State, in the amount of \$500,000.00 as a guarantee of the satisfactory performance of the services proposal. The performance guarantee must be in force for the entire life of the contract including the two one-year renewal periods. The successful implementation and administration of the Electronic Title Processing System is of primary importance to ADOR and will be a significant benchmark for assessing Vendor performance. In the event the selected vendor fails to deliver or perform to the satisfaction of ADOR, the contracting authorities for ADOR reserve the right to proceed against the performance guarantee and to cancel any associated agreements without any resulting liability, present or future, to ADOR.
- I.11. DELIVERY OF SERVICES: The successful Vendor will be expected to begin production according to the schedule submitted in accordance with SECTION I.2. RESPONSE PREPARATION AND PROPOSAL FORMAT. The data processing design, development, installation, implementation, and training activities associated with the Electronic Title Processing System will be monitored by ADOR personnel. The vendor will employ sufficient and suitable personnel, secure and maintain insurance, maintain records, submit reports, and observe all requirements as outlined in this ITB.

In the event the Vendor encounters difficulty in meeting performance requirements outlined in this ITB, or when difficulty in complying with the contract delivery schedule or completion date is anticipated, or whenever the Vendor has knowledge that any actual or potential situation is delaying or threatens to delay the timely performance of this contract, the Vendor shall immediately notify the Motor Vehicle Operations Manager by telephone and follow-up in writing, and give pertinent details. However, this data shall be informational only and this provision shall not be construed as a waiver by ADOR of any delivery schedule or date, or any rights or remedies provided under this contract. Minor modifications in operating procedures will not change pricing. Minor modifications being defined as less than one man-month.

If the Vendor fails to promptly perform the services or to take the necessary action to ensure future performance in conformity with contract requirements, ADOR may:

- Proceed against the Performance Bond; and
- Terminate the contract for default.

Prior to Implementation

1. At least four weeks prior to implementation, complete file transfer testing to the Department.
2. Provide access to a test version of the payment and e-title application to the Department at least four weeks before implementation.
3. Complete an integrated readiness test for functionality of all parts of the e-title application with the Department at least two weeks before implementation.
4. Demonstrate print functionality for an Internet user.
5. Demonstrate user login access and authentication.
6. Demonstrate system logic to include defined edit rules (accuracy, required elements present, etc.) and validation (element by element checking numeric/alphabetic).
7. Demonstrate the ability to identify user errors and communicate back to users error procedures.
8. Demonstrate the acceptability of a transaction by the assignment and communication of a transaction number and Julian date stamp.
9. Demonstrate the system interfaces, using test materials provided by the Department.
10. Provide a documented plan for disaster recovery.

At Implementation

1. Selected vendor will deliver a copy of the current production version of the system documentation. This documentation will be kept current (within 60 days) and available on a shared media, to be determined at the start of the contract.
2. Payment information will be sent to the bank each evening in time to meet the nightly processing schedules.

Post Implementation

1. Provide retention of payment and title application data for 10 years from the date of each transaction.

2. Provide for Enhancements and Change Orders (See Exhibit A – 11)

I.12. CHANGES ONLY BY THE MOTOR VEHICLE OPERATIONS MANAGER:

No order, statement or conduct of government personnel who visit the Vendor's facilities, or in any other manner communicate with Vendor personnel during the performance of this contract, shall constitute a change under this contract. The Motor Vehicle Operations Manager is the only person authorized to approve changes in any process or procedure, and notwithstanding provisions contained elsewhere in this contract, said authority remains solely with the Motor Vehicle Operations Manager. In the event the Vendor affects any change(s) at the direction of any person other than the Motor Vehicle Operations Manager, that change shall be considered to have been made without authority.

Any proposed changes to processes, procedures, service and/or work schedules shall be submitted in writing to the Motor Vehicle Operations Manager for approval prior to implementation. The Vendor will be given written notice of procedural changes and the implementation date required by ADOR. The Vendor must possess the capacity to respond to changing requirements and limited implementation time frames.

Any dispute shall be decided by the Motor Vehicle Division Director, who shall produce the decision in writing and mail or otherwise furnish a copy thereof to the Vendor.

I.13. VENDOR QUALIFICATIONS: This ITB will provide essential information to prospective Vendors submitting proposals for the services described herein. The Vendor must be able to perform all functions required, as outlined in Exhibit A, in the most accurate, efficient, and expeditious manner possible.

To be considered for selection, Bidders must meet certain criteria and demonstrate their capability and experience in several key areas:

Bidders shall be individuals, partnerships or corporations regularly engaged in the business covered by the specifications described and must possess satisfactory financial, technical, and organizational resources to ensure satisfactory completion of the contract.

Must demonstrate capabilities in developing .NET applications

Must have broad based knowledge of a motor vehicle titling processing system and must have developed a titling system of similar size and scope for a jurisdiction.

The bidder must describe and be prepared to demonstrate, based on current or previous jurisdictional titling projects of a similar size, nature, and complexity

(in scope, responsibility, and technologies involved) as described in this ITB, their expert knowledge of business solutions related to the administration of titling application operations and have experience in providing solutions to meet the requirements as set forth in the ITB.

Bidder must have prior experience in successfully designing, developing, and integration of mCarrier software for at least one mCarrier jurisdiction within the past two years.

Bidder must have prior experience in successfully designing, and developing NMVTIS for at least one jurisdiction within the past two years.

The bidder must provide customer reference contact information (name, role in project, phone, and email) for the project described pursuant to the above in order to allow the evaluators to verify the information.

Resumes must be provided for the professional staff members proposed for assignment to the Project, indicating their experience and qualifications.

- I.14. REFERENCES: The Vendor shall provide the identification of at least (1) jurisdiction, other than ADOR, for which a titling system has been successfully installed. Provide a brief description of the system, and list key points of contact and telephone numbers.
- I.15. DISASTER PREPAREDNESS: The response must include a description of the bidder's contingency operating plan that adequately addresses continuation of the services priced in the event of a disaster, natural or otherwise. A vendor must include their disaster recovery plan detailing frequency of back up, off-site storage, etc. A vendor must include a description of back up facilities that would be available to continue with the contracted processes if its main facility were not able to function. The backup facility must not be located within a twenty mile radius of the main facility. A bidder must include communication failure backup.
- I.16. CHANGES AFFECTING THE PROGRAM: Changes to State statutes, case law, regulatory changes, and instructions may impact ADOR processing systems. The Vendor must possess the capacity to respond to changing requirements and limited implementation time frames. Additionally, working together with ADOR, the Vendor will develop new and innovative approaches for continuous improvements in providing services to ADOR, which may result in cost reductions. The Vendor will be given written notification to respond and implement processing and procedural changes, modification to software and file formats, changes to characteristics of title applications, changes in input fields, output records and/or file formats, 2D bar code content, size of data fields, etc. within thirty-days of notice at no extra cost to the state. Minor modifications, as determined by ADOR, must not change the pricing.

The Vendor will be given 30 days written notification to respond and implement processing and procedural changes and/or technical requirements (e.g. due to changes in design, form and size or addition of documents) at no cost to ADOR.

- I.17. OBSERVANCE OF LAWS: It is the policy of the Department of Revenue not to discriminate against any employee because of race, color, religion, age, sex, national origin, or disability. In connection with the performance of work under this contract, the Vendor agrees not to discriminate on the basis of race, color, religion, age, sex, national origin or disability. The Vendor shall comply with all applicable laws of the United States and the State of Alabama.

- I.18. BID EVALUATION CRITERIA:

The major criteria to be used in evaluating proposals are:

- A. Compliance with all sections of this ITB.
- B. The pricing of services as defined in SECTION II – BID FORMAT AND PRICING of this ITB.

- I.19. AUDIT REQUIREMENTS, MONITORING AND EVALUATION

- A. Audit Requirements

ADOR Internal Audit is authorized to make both announced and unannounced audits. They will have access to all documents, records, personnel, and facilities. In addition, the State Auditor's Office and the Examiners of Public Accounts may perform audits. State Auditor personnel are prohibited access to documents, as provided for in Section 40-2A-10, Code of Alabama 1975, but are permitted access to bank statements, checks, and deposit listings. ADOR must be notified of any suspected or actual unauthorized access, loss, alteration, or destruction of records and/or data related to this contract. In such an event, verbal notification will be made immediately upon discovery and written notification will follow within forty-eight hours. In the event it is a weekend or holiday, notification will be made on the first day ADOR resumes business.

Periodically, ADOR will inspect the Vendor's area for physical security considerations. These security reviews will be conducted by ADOR's Internal Audit Section. The successful Vendor must agree to implement all reasonable improvements or modifications indicated by the physical security review conducted by ADOR.

- B. Monitoring and Evaluation

ADOR shall have the right to withhold payment to the Vendor for failure by the Vendor to carry out any of its contractual obligations. This includes the result of unsatisfactory audit findings, physical security reviews or other negative monitoring results. Such a right to withhold shall continue until the Vendor remedies such failure to perform, provided that written notice of such failure has been communicated to the principal office of the Vendor by certified mail. The Vendor will take immediate corrective action to resolve any negative findings by ADOR.

The Vendor must maintain records of all processing activity it undertakes as part of the contract. Such records shall be maintained for audit by ADOR or the State Auditors. The Vendor must maintain processing, billing and other records required for audit purposes for this contract. Vendor shall not reproduce data in any form without specific written approval from ADOR.

The Vendor must maintain a log and filing system which will ensure the retrieval of information for the life of the contract and until audited by the Examiners of Public Accounts and released by ADOR. All unaudited records shall be transferred to ADOR at the expiration of the contract period.

The Vendor must warrant that these materials are kept in a separate secured area where access is restricted to authorized personnel. ADOR documents and records must be physically protected from inter-filing with other Vendor or Vendor client records.

- I.20. NEWS RELEASES: No news release, press conferences or advertisement pertaining to this solicitation, or to awards made as a result of this solicitation, will be made without prior written approval of the ADOR Commissioner's Office.
- I.21. INQUIRIES: Any questions that arise concerning technical data in the ITB should be submitted, in writing, to:

Mike Gamble, Supervisor
Motor Vehicle Division, Alabama Department of Revenue
1210 Gordon Persons Building
50 Ripley Street
Montgomery, AL 36130
(334) 242-9013 Fax # (334) 353-9351
E-mail address: mike.gamble@revenue.alabama.gov

Mike Gamble will be the sole contact for ADOR. The Department will not be responsible for any information obtained from other sources.

- I.22. INSURANCE: The Vendor will carry and maintain, during the entire period of performance under this contract, the following:

Workers' Compensation and Employee's Liability Insurance: minimum \$100,000 per incident,

Automobile (Vehicle) General Liability Insurance: minimum \$200,000 per person; \$1 million per accident; property damages \$50,000,

Comprehensive General Liability: minimum of \$1 million bodily injury per occurrence,

Bonding of Vendor employees (permanent, temporary or contracted): minimum of \$100,000 per incident.

- I.23 CANCELATION: Any contract resulting from this bid may be canceled by either party by giving one hundred-eighty (180) days written notification. Any transactions dated prior to the date of cancellation will be allowed to be completed and will be paid as specified under the terms of the contract.

Upon termination or at the end of the resulting Contract, the successful bidder must work with any future vendor selected by ADOR to perform official functions on their behalf. The successful bidder's responsibilities must include, but not be limited to, migration of data from the successful bidder's system to the future vendor's system and knowledge transfer of the successful bidder's solution, tools, processes, and software design.

After the end of the contract, the successful bidder will continue to provide services for DOR e-Title system with no additional enhancements or work on a month to month cost basis as we transition to a new vendor's system.

I.24. EXHIBIT DESCRIPTIONS

Exhibit A – Electronic Title Processing System Description of Services Required
Exhibit B – Security Standards for Vendors

SECTION II

BID FORMAT AND PRICING

- II.1. PREPARATION OF BID: It is crucial that Vendors prepare comprehensive and accurate bids. Any bid which merely states that the Vendor will meet the ITB's requirements will be disqualified in the evaluation process. The bid must contain a comprehensive description of how the Vendor plans to meet the requirements of the ITB.
- II.2. PRICING BID: Each response will provide pricing that is all inclusive of all costs associated with the implementation, operations, and services necessary to meet the business requirements as outlined in Exhibit A – Electronic Title Processing System Description of Services Required. The State of Alabama reserves the right to purchase all hardware and software from other sources. Hardware and software should be priced separately and a detailed description of all hardware and software must be provided in response to the ITB.

Vendor will host and maintain system.

Pricing Grid Vendor Hosted	Year 1	Year 2	Year3
Development/Implementation		\$0	\$0
NMVTIS Development/Implementation		\$0	\$0
Per Completed/Submitted Title Transaction			

NOTE: Payment for recurring services will be rendered monthly in arrears.

Exhibit A

DESCRIPTION

OF

SERVICES REQUIRED

Exhibit A - Electronic Title Processing System

Alabama Department of Revenue Web Based Title Application System

Exhibit A - 1. Functional Overview

The Alabama Department of Revenue (ADOR) is interested in automating and standardizing the vehicle title application process performed by Designated Agents (DA's). The system proposed is intended to be a first step towards a completely redesigned Titling application system for the State of Alabama. It is therefore imperative that the set of components deployed for this system be state of the art, have broad industry acceptance, be reusable as well as be the basis for all future enhancements to the Titling application and related system.

The system envisioned to achieve this automation would be accessible by DA's through a standard web browser. Functionality for ADOR and associated vendor shall be accessible using a Windows User Interface over a controlled VPN.

General Processing Flow:

1. Designated Agents (counties, dealers, financial institutions and insurance companies) will access the Electronic Title Application System for inquiry, title changes and title applications/transfers. For inquiry transactions only, a convenience fee may be charged by the vendor and retained by the vendor for each inquiry. Inquiries will be paid by the user and not ADOR. Government entities, as specified by the ADOR will not be charged for inquiries. Convenience fees, for inquiries, must not be adjusted more than once a calendar year. The amount of the convenience fee will not be criteria for evaluation of this bid. A fee of \$15.00 per title application submission will be collected by the vendor to be remitted to the State of Alabama via a single electronic funds transfer to the bank designated by ADOR on a daily basis. An additional convenience fee may be collected and retained by the vendor for **debit and credit card transactions only**.
2. The application should allow for entry of a designed agent user id and password. Validation of user id and password will be performed by the application.
3. Upon entry of a VIN or Title Number, by the DA, a transaction number will be assigned. Their browser window will be populated with title information from the new Title Database. If the title is not found, the Agent will enter all new title information into the Web Based Title Application. A unique Julian Date based Transaction Number will be assigned by the system at the time of the inquiry.

Exhibit A - Electronic Title Processing System

4. The agent will enter variable title data in the e-title system. Validity checking, a call to the VINA application, and other edits on title and vehicle data (edits to be provided by ADOR) will occur at this time.
5. Agent will print 2 copies of the Title Application (one for customer, and one to send to ADOR). The laser printed Title Application will include a 2D bar code indicating the Transaction Number, owner information, lienholder information, and vehicle data. A pending Title Update record will be created that will be used to update the Legacy Title System when the transaction is approved by ADOR.
6. The Agent will send the paper Title Applications to an ADOR Processing Vendor that will open the mail, and verify receipt of title documentation. The Processing Vendor will scan documents and a sequential Title Number will be assigned to the application by the imaging system.
7. ADOR will authorize and issue a title based on the Processing Vendor's receipt of documentation and approval by ADOR, the system updates will be passed from the Processing Vendor, by batch (Transaction Number and Title Number), to be applied to the Title Update Record.
8. The Transaction Number and Title Number will be assigned to the Title Update Record and then passed to the Legacy Title System by batch or online. The Transaction Number may be extracted from the file prior to passing to the Legacy System.

In addition to the mainstream processing flow, other processes supported by the system and further defined in the Detailed Functional Features List include:

- Agent Administration – Must allow ADOR to administer the assignment and maintenance of User ID's and passwords to DAs
- User Security Administration – Must allow DAs to administer the assignment and maintenance of passwords to their employees
- Title Application Audit – Must allow ADOR to track DA title application activity
- Agent Activity Audit – Must allow ADOR to track all agent activity.
- E-check and Credit Card – Must have ability to view payment history for each DA.

Exhibit A - 2 Technical Overview

1. The Legacy Title System is an IMS based mainframe system that will continue to be the authoritative repository of titling data.
2. The new online Title Database will be an extract (or shadow database) from the legacy Title System and will be developed for web-based access by the DA's and ADOR.

Exhibit A - Electronic Title Processing System

3. A secure dedicated communication line will be required for transmission of data between the legacy system and the shadow database.
4. An Authorized Agent database will be developed with associated inquiry and maintenance functions to support authentication, adding, deleting, maintaining agents, class of customer, and system usage statistics accumulation (for Drivers Privacy Protection Act) monitoring.
5. The required application interfaces to the new online Title Database will be the Legacy Titling System, Processing vendor system, ADOR, and ADOR's designated bank. In addition, the Web Based Title application must use VINA for VIN validation and retrieval of vehicle descriptive information.
6. The selected vendor will host the application and provide application and network help desk support. All data collected on behalf of ADOR as specified under the terms of this ITB will remain the property of ADOR and will be returned to ADOR upon termination of any contract resulting from this ITB.
7. The selected vendor must provide for the integration of title data with registration data and IRP mCarrier data.
8. The selected vendor must provide for auto-fill of title data into the current mCarrier system for verification of ownership.
9. The selected vendor must allow access to ADOR data by other vendors or agencies when authorized by ADOR. This includes, but is not limited to the following programs: PRISM, CVISN, IRP mCarrier, IFTA mCarrier, registration, and LETS.
10. The selected vendor must provide for a fully compliant NMVTIS release 2 system. In the event that Federal funds become available, the selected vendor will work with ADOR to satisfy the requirements needed to receive any federal funds available for the implementation of NMVTIS. **Annual NMVTIS user fees, to be paid to AAMVA, will be paid by ADOR.**

Typical Volumes:

- 6,500 title applications per day
- Approximately 1.5 million title transactions per year
- 5,000 Designated Agents
- 15,000,000 current title records

ADOR does not guarantee any volumes. Volumes based on past five-year history.

Exhibit A - Electronic Title Processing System

Exhibit A - Electronic Title Processing System

Exhibit A - 3 Detailed Functional Feature List

Universal Usability Features	<ul style="list-style-type: none">• Consistent User Interface• Auto population of fields• Hot Key support• Combo style selection for all selection lists and code values• Integrated User Help; context sensitive
Dynamic Rules	Extensive editing will occur on Title Application. All edits must be based upon a sophisticated rule evaluation architecture where thresholds, outcome, severity, messages etc. are dynamic.
Complex Search Support	<ul style="list-style-type: none">• Provides for a subset return list of qualified vehicles• Supports multiple search criteria (e.g. VIN, title)• Supports partial search values (e.g. entering short VIN returns a selection list of vehicles starting with the values provided)• Provides additional limiting criteria on searches
Complex Retrieval Support	<ul style="list-style-type: none">• Selection of title applications can be made by transaction number, VIN or through selection from an application search summary list• Application search summary list would provide for a list of all title application by various criteria including date, agent, status (open, approved, completed, denied, voided).
Title Application Generation	<ul style="list-style-type: none">• The application must be printable at the Agent site; there is no control of hardware.• A reprint of the Title Application must be possible with the same data as contained on the original.
Transaction Status at a glance	<ul style="list-style-type: none">• Displays and updates the status of a transaction throughout the process in an intuitive manner. For example, as the user progresses from vehicle query, to

Exhibit A - Electronic Title Processing System

	<p>vehicle selection to title application. Each previous and successive activity is determinable and accessible (to step back and forward as appropriate).</p> <ul style="list-style-type: none"> Highlights applications that have passed the process time threshold.
Online Reporting - Internal	<ul style="list-style-type: none"> Online reports available on demand, printable, and exportable (to Excel) Data set is governed by a fixed set of user-selected parameters.
Online Reporting - Agent	<p>Agents will have access to audit and report data for “<i>only</i>” <i>their</i> own activities to include transactions for which the agent is a party to, such as lien holder.</p>
Universal Auditability	<p>All updates are recorded and accessible providing for information on who performed the change and when the change was performed.</p>
Access to Sensitive Information	<ul style="list-style-type: none"> All access to title/vehicle information will be logged including username, organization, date/time, and title/vehicle identifier. Reports will support regular review.
Drill down	<p>Support intuitive drill down feature in all interactive components (e.g. from application status browse to application status detail)</p>
Configuration	<p>Comprehensive support for configuration and reference information. Examples of this information include dynamic fee calculation, all combo boxes, max number of security interest holders, etc.</p>
Table Based Configuration Management	<ul style="list-style-type: none"> Manage update of valid values in tables that govern contents of combo boxes within title application functions. Ability to discontinue use of specific values while retaining them as reference values for old records. Ability to map existing and new values from external sources to “state specific” (legacy system) values. Ability to future date entries (to start or to end in the future).

Exhibit A - Electronic Title Processing System

Interfaces	<ul style="list-style-type: none"> • Support scheduled downloads from source mainframe based IMS legacy system within a specified window. Maps extract records to database fields. • Support scheduled uploads to source legacy system within a specified window. Map database fields to legacy system record format. • Support scheduled uploads from Processing Vendor system within a specified window. Map database fields. • Support scheduled downloads to ADOR designated bank system within a specified window. Map database fields.
Multiple payment methods	Multiple forms of payment including e-check, debit card, credit card and escrow are supported.
Backup/Restore	<ul style="list-style-type: none"> • Backup must occur on a nightly schedule • Backup data must be able to be restored within 4 hours of system availability • Backups must be able to be taken on demand.
Archiving	<ul style="list-style-type: none"> • Specified data (applications, logs) will be archived to long-term storage media after a specified timeframe. • Archived data must be retrievable within 24 hours. • Transaction history to be maintained online for a period of ten years.

Exhibit A – 4 System Administration

Alabama Department of Revenue Administrator will have the ability to:	Add, Update, Delete, and temporarily suspend an Agent (organization). Information will include demographics.
	Establish and update DA configuration (work queues, default user profiles, etc.)
	Add, Update, Delete, and temporarily suspend a DA. Information will be sufficient for authentication of a request to reset password.

Exhibit A - Electronic Title Processing System

	Reset password for any agent user of the system.
	Add, Update, Delete, temporarily suspend a system support staff; this function is limited to a “system administrator”. Information will be sufficient for authentication of a request to reset password.
	Manage update configuration table values.
	Management of work queues, fee values, edits.
	Easily access/review logs of functional and database errors.
	Easily access/review logs of upload/download activities (with legacy system).
	Easily access/review logs of access to specific functions/records.
	Easily access/review audit logs for data changes.
For a given DA, the DA Administrator will have the ability to:	Configure user profiles.
	Add, Update, Delete, and temporarily suspend a user within the given DA organization. Information will be sufficient for authentication of a request to reset password. Reset password for any user within the given DA organization.
	Manage Security Interest “short list” for that Agent. (Frequently used lenders)
Users in a given DA will have the ability to:	Maintain his/her user profile preferences, change password.
	Provide feedback (e-mail) to Central Administration.
Internal Users will have the ability to:	Maintain own user profile preferences, change password.

Exhibit A - Electronic Title Processing System

	Provide feedback (e-mail) to Central Administration.
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Exhibit A – 5 Function Summary

Subject Area / Transaction	Agent Functions	Internal Functions
Web Title Application Flow	<ul style="list-style-type: none"> • Vehicle Query • Vehicle Summary List • Title Application (from Query or Vehicle Detail) • Title Application Status Summary • Title Application Status Detail • Agent Correspondence Summary • Agent Correspondence Detail 	
Title Application Processing Flow		<ul style="list-style-type: none"> • Vehicle Query • Vehicle Summary List • Queue Summary • Agent Title Application Summary • Title Application Review • Title Application Document Summary • Agent Correspondence Detail
Agent	<ul style="list-style-type: none"> • Manage Representative • Representative Transaction Summary 	<ul style="list-style-type: none"> • Manage Agent • Manage Representative • Agent Transaction Summary • Agent Correspondence Summary • Agent Correspondence Detail
Vehicle	<ul style="list-style-type: none"> • Vehicle Search • Vehicle Summary List • Vehicle Detail 	<ul style="list-style-type: none"> • Vehicle Search • Vehicle Summary List • Vehicle Detail

Exhibit A - Electronic Title Processing System

	<ul style="list-style-type: none"> • Vehicle History 	<ul style="list-style-type: none"> • Vehicle History
Application	<ul style="list-style-type: none"> • Search • Application Summary/Detail • Transaction History 	<ul style="list-style-type: none"> • Search • Application Summary/Detail • Transaction History
Title	<ul style="list-style-type: none"> • Search • Title Summary/Detail • Transaction History 	<ul style="list-style-type: none"> • Search • Title Summary/Detail • Transaction History
SI (short list, full list)	<ul style="list-style-type: none"> • Manage Security Interest • Manage Security Interest short list 	<ul style="list-style-type: none"> • Manage Security Interest • Manage Security Interest short list
Payment Tracking		<ul style="list-style-type: none"> • Payment Query • Payment Detail • Payment Summary List • Payment History
Reference		Reference table support for all reference values
Configuration		<ul style="list-style-type: none"> • Manage Fee Values • Manage Edits

Exhibit A – 6 Audit & Reports

Access	Log and report access by Agency and Agent to specific records giving access path, Transaction number, title number, and date/time of access.
Audit	Log and report updates and inquiry access by DA and user to specific records giving access path, Transaction number, title number, and time & date of access.

Exhibit A - Electronic Title Processing System

Statistics	Count/sum activity/fees by user selected parameters.
Productivity	Turn around time for application processing by user selected parameters.

Exhibit A - Electronic Title Processing System

Exhibit A – 7 Required Application and Technology Features

- .Net Framework 1.1
- ASP.Net
- Windows Forms Smart Client
- C#
- ADO.Net
- XML Web Services
- XML/XSL

If other .NET technologies are recommended, provide an explanation as to why you recommend them and they will be considered. However, price according to required platforms.

Required Server Platform

Windows 2003

Required Web Server

Internet Information Server 6.0

Security: Authentication and Authorization

- Centralized user management utilizing Active Directory.
- Authentication to Active Directory accounts. User accounts will only be stored in the Active Directory.
- ASP.Net forms-based authentication utilizing custom authentication will be highly integrated with Active Directory for authentication and authorization of users.
- Authentication framework will secure both web based access and web services
- . Net Web Service authentication utilizing same authentication scheme, but extended for Web Services. Provide web service authentication, authorization and session management services.
- Access control to application features and function will be managed by Active Directory (Application menus and function web and windows forms clients) and be part of the user's "security profile." Application will use this security profile for authorization.

Session management and session lifetime services

- Application will support configurable session timeout
- Web based and smart client application will monitor for session timeout. When there is a time span of no user activity system will lock and/or send the user to a login page for re-authentication when the session has timed out. This will prevent other users from seeing sensitive information.
- Administrative console to view and terminate sessions.

Exhibit A - Electronic Title Processing System

Security Infrastructure

- Security infrastructure will support using groups to ease security management.
- Ability for the user to manage their password stored in Active Directory from within the application.
- Web-based user and group management facilities
- Ability to extend or allow third party users of the system to manage their own group of users.
- Association of users to higher-level entities to provide data integration for filtering or only allowing access to data based on the user.
- Support for .Net role based security.

Component Architecture

- System will be based on an n-tier services based architecture.
- The system will be developed as a highly componentized architecture
- Web Services
- Capability for the current system to integrate with legacy and future systems utilizing XML Web Services
- Ability for key software components to be exposed over internet protocols.

User Interfaces

- Web-based on Windows Forms based Smart client user interfaces will be supported.
- Web-based application will be based on ASP.Net
- Smart Client user interface will be developed using Windows Forms technology in .Net.
- The Smart Client architecture will be componentized and will support web services to reuse application server business and data component logic.
- Smart Client application will support dynamic updates of client-side application and components to minimize maintenance and distribution of application and component updates.
- Smart Client will integrate and utilize the security authentication and authorization architecture.

Validation/Business Rules Processing

The rules engine will stop transactions when certain conditions are met and allow continuance with proper authorization. The system will provide a flexible architecture that will allow the rules to be modified, including the ability to modify the majority of rules without requiring compilation of code. The storage mechanism for business rules will be reportable and maintainable. Create a user-interface that displays errors, warnings, and overridable edits with a consistent set of icons and a consistent and intuitive mechanism for overriding edit conditions based on user authorization levels.

Exhibit A - Electronic Title Processing System

Discretionary Edit Approval System

The Validation/Business Rules engine will support a discretionary edit system that provides the ability for the system to check configuration tables to determine a user's authorization level to determine whether or not, at their discretion, they can override a business rule that is preventing a transaction from continuing. The Edits would have required approval levels that are matched against the authorization levels. In addition edits will have severity levels (for example some may be just warnings). The validation and business rules processing services will be integrated in one manageable engine.

Reporting, Document and 2D Bar Coding

System would provide adhoc web based reporting.

HTMLData Grid Reports

- Data grid views allow dynamic filtering, sorting, page advance, etc.
- Data grid views can be printable as-is or through HTML Formatting.
- Option to dynamically create dataset(s) (comma delimited) to be used by reporting tool.
- Data grid views can be automatically downloaded to Excel for charting.
- Ability to dynamically hide or display each column of a view.
- Data Views can be flat or hierarchical.
- Extensive formatting features can be applied to data views.

HTML formatted reports

- Exporting capabilities to other formats like Excel.

In addition, the system will provide for dynamic PDF generation of official forms and documents and the dynamic generation of barcodes in 2D (PDF417).

Operations Management, Auditing and Reporting

In addition to the numerous Windows 2003 built-in system and monitoring tools, the system will provide error reporting and logging, user access logging, and auditing logging facilities.

Logging facilities

- Audit logs to view defined updates to data rows or elements (Who changed what data).
- Activity logs to track user access to the system.
- Web Logs to track which users accessed which functions.
- Database Logs to track database errors (notification can be sent based on error and severity).
- Can also be used to monitor use & execution times.

Exhibit A - Electronic Title Processing System

All application errors whenever possible will log to the centralized error logging facilities. The error information, besides containing detailed information about the error and the component that the error occurred will also include information about the user that received the error and the machine/location of where the problem occurred.

Exhibit A – 8 Database Technology Requirements

The database management system (DBMS) will be Microsoft SQL Server 2000 Advanced Server.

Performance and Fault Tolerance

In order to provide the required level of service and availability, the proposal will include a DBMS plan that incorporates a highly fault tolerant and fault resilient implementation and management strategy. Solution specific proposals must be provided for each.

Transactional Integrity

The response must address mechanisms to ensure the database(s) integrity, consistency. Completeness of data, processes, and transactions must be ensured and supported by the design.

Modularity

The database design must utilize an approach that incorporates and promotes a modular design and code reuse. A specific strategy must be included.

Dynamic Edits

The database must support dynamic edits that define and enforce data quality. An interface to manage edit criteria and data must be included.

Dynamic Configuration

Application configuration and reference information must also be dynamically adjustable and maintainable. Fees, presentation data, and thresholds must be code-independent.

Reliable Data

A mechanism must be developed to load and transmit IMS titling data. In addition to reliable, secure data movement, this mechanism must provide load/transmit process verification, metrics, and error reporting/immediate notification features.

Exhibit A - Electronic Title Processing System

Audit and Metrics

The selected solution will include robust metrics reporting and auditing features. The database will provide a concise mechanism for tracking, reviewing and auditing each data change.

Searches

Highly efficient data searching and summarization approaches must be included. The design must prove the capability to retrieve salient data based on complex criteria. It must also support efficient reporting on a diverse mix of criteria. Search and reporting functions must not degrade transactional availability or efficiency.

Standards

The response must include standards for database usage, naming, and referential integrity. Procedures and processes for managing database development and modifications must be included.

Exhibit A – 9 Hardware Configuration and Hosting

The selected vendor will use its shared development and demonstration environments during the course of the development project.

The production-hosting environment will include the following features:

- Redundant Uninterruptible Power Supplies
- Backup power generator
- Redundant HVAC units
- Redundant telecommunications connections
- Dedicated fire suppression system
- Secured facility

Additional Services

The vendor will provide the following services for the ADOR server configuration on a 24 hours per day, 7 days a week (24x7) basis. Required managed services must include the following:

- System monitoring
- Backups
- Restores
- Secure Off-Site backup storage
- Network performance monitoring and reporting

Exhibit A - Electronic Title Processing System

- Staffing and skill sets available to handle all operational problems

Disaster Recovery

Disaster recovery is a prime design criterion for the physical architecture schema supporting the system. For the Web Based Title Application System, a strong system infrastructure consisting of the following should be in place:

- Server redundancy
- Data communications redundancy
- Software & hardware maintenance procedures
- Data backup, archiving and integrity protection
- Disaster Recovery procedures

Exhibit A – 10 Project Management Techniques and Tools

In performing this project, the vendor must use an application development methodology. The methodology should be designed to allow rapid development and deployment while ensuring the highest-level of quality and accuracy. During the development of the project work plan, the methodology will be reviewed and tailored to meet the needs and special requirements of the project.

The Systems Development Life Cycle methodology deployed will be modeled on processes recommended in IEEE requirements for development of critical software, the SEI practices for achieving high-quality competency in the Software Development Capability Maturity Model, inputs from the Software Quality Institute, and industry standards.

Exhibit A – 11 System Maintenance Methodology

Change Requests / Change Control Board

At the beginning of the development project, the vendor and ADOR will appoint a Change Control Board (CCB) to manage changes. Change Requests (CRs) may be generated for application changes, reported discrepancies, errors found during test, and system enhancements. Similarly, all system enhancements requested internally, or by ADOR, are recorded as CRs.

In addition, vendor will:

- a. Test change orders and receive approval from Department before implementation.
- b. Enhancements to the design will be made to meet changing business requirements. Estimate cost and timeline for completion of work upon request.

Exhibit A - Electronic Title Processing System

- c. Contractor will switch banks to which it sends payment information in the event of a state bank contract change.
- d. The contractor will make Department-approved enhancements to the application as technology develops.
- e. The contractor will describe method and cost for changes or updates to the application.

Exhibit A – 12 Key Deliverables and Quality Checkpoints

In addition to Quality Checkpoints that occur throughout the life cycle to ensure that all deliverables meet all quality standards, quality methods are built in to the processes and software.

Key Deliverables and Quality Checkpoints

Deliverable	Definition
Project Work Plan	Document is developed during preliminary analysis and captures the project description, scope, stakeholders, project benefits, a clear, concise, unambiguous list of specific capabilities the system must provide to meet the ADOR's needs, technical feasibility assessments, possible solutions, and resource estimates. This plan is used to size the project.
Requirements Specification	Serves to describe the functionality that must be included in the final system, plus operational, environmental, legal, and other requirements.
<i>Quality Checkpoint</i>	A project "Kickoff Meeting" that validates that all user requirements are complete and valid, as documented in the Requirements Specification. This meeting also serves to present the Project Gantt schedule, and to introduce the team leaders who are responsible for the deliverables in each of the project phases.
Project plan	Microsoft Project detailed work plan, which includes all of the tasks and subtasks, with deliverables, defined in the SDLC methodology. At the time of project initiation, this plan is updated with task durations and milestones.

Exhibit A - Electronic Title Processing System

Key Deliverables and Quality Checkpoints

Deliverable	Definition
Functional Design Specification	This document defines the proposed solution. It converts business rules and design decisions into data models and process models. The contents of this specification map directly to the Requirements Specification, and include all interface requirements, design goals and constraints, assumptions, special business rules and diagrams, and user acceptance criteria. Functionality is presented in terms of prototype Web pages, screens, reports, and is supported by process flows, logical data models, and USE cases.
Technical Design Specification	This document contains diagrams and descriptions of the physical hardware and system software infrastructure of the system. This includes development, test, and implementation environments. Includes a complete hierarchical breakdown of all program modules of the system, databases files, and interface components. Job Flow, production support, system maintenance, backup/recovery, and technical training requirements are also documented here.
<i>Quality Checkpoint</i>	A Functional and Technical Design review that validates that the system meets all design standards and technical considerations for operability, accepted and approved by ADOR.
Training Strategy	A document that identifies the training objectives, training strategies, and training schedule.
Systems Requirement Document (SRD)	Identifies all hardware and system software components of the system, application and database information, and disaster recovery information.
Test Plan	A master plan that identifies the test objectives, test strategies, test environment, entrance/exit criteria, success criteria, test schedule, test data, location and list of test cases, and test analysis for all phases of test.
Test Scripts	Detailed procedures defining action steps and expected results.
Unit Test Checklist	A list of test cases that are derived from the detailed design specification for the module being tested.

Exhibit A - Electronic Title Processing System

Key Deliverables and Quality Checkpoints

Deliverable	Definition
Training Plan	Gantt chart that reflects the training activities prior to and during the implementation. The strategy involves defining who will need training, how it will be conducted, what it will comprise, the method of conducting, and when it will be offered. Technical training as well as Functional training may be required. The trainer, using materials produced in the development phase and validated in the test phase, develops training materials.
Implementation Plan	An overall implementation and support plan which includes a Gantt chart, go/ no go criteria, roles and responsibilities, success criteria, and the training strategy. This plan focuses on site technical readiness issues, and includes a time-phased checklist of all tasks and responsibilities to be conducted during implementation. Major deliverables for this phase include the following: <ul style="list-style-type: none">• User Training• User Acceptance Test Results• Production System• Production Data• Project Post Mortem
Production support model	Full escalation plan and issue resolution process. This plan identifies problem escalation procedures, contact persons, and required response times. The formal Change Control Process is documented in this plan.

Exhibit A – 13 Test Plan

A master test plan is a key deliverable. It identifies the test objectives, test strategies, test environment, entrance/exit criteria, success criteria, test schedule, test data, location and list of test cases, and test analysis for all phases of test. Test scripts are developed that are detailed procedures defining actions and results of transactions. Testing includes:

Exhibit A - Electronic Title Processing System

Test Plan Components

Item	Definition
Test Specifications	Documents test plans with pass/fail criteria and test scripts.
Unit Test	Validation of conditions and steps within an individual component/development effort.
Functional Test	Validation that integrated units of the system and dependencies execute as designed per the business requirements.
Integrated Test	Multiple functional tests linked together in a defined cycle, which includes external interfaces.
Stress/Volume Test	Ensures system and infrastructure can support high transaction volumes while satisfying service level agreements defined by the business.
User Acceptance Test	Validation of system functionality by users based on business requirements defined to run their business.
Regression Test	Retest previously validated processes to ensure changes have not negatively impacted the already implemented functionality.

Exhibit A – 14 Support For Future Requirements

The new Title Application System must be engineered in such a way as to easily support the following future requirements foreseen by ADOR.

- Sophisticated Work Flow Support – Implements work queues, exception processing, and rule override.
- Document Interchange – Provides functionality for the management and interchange of Document Images.
- Privacy Rating - Support for multiple levels of privacy access for Designated Agents (DAs). Privacy would apply to customer information supplied to the DA.
- Trust Rating - Support for multiple levels of operational trust for Designated Agents (DAs). Trust level would impact work flow (e.g. allow for document image capture and attachment, support escrow payments, etc.).

Exhibit A - Electronic Title Processing System

- Designated Agent Certification - Document and track the certification status of DAs. Includes the ability to annotate, statistical reporting, historical reporting on transactions and support for privacy and trusted ratings.
- Financial Integrity - The ability to support the electronic management of legal title. Modification to non-critical information (e.g. address) and physical printing is not required.
- Electronic Titling - The ability to support the electronic management of legal title. Modification to non-critical information (e.g. address) and physical printing is not required.

Exhibit A – 15 NMVTIS Development and Implementation

NMVTIS will be implemented to comply with current standards as specified by the American Association of Motor Vehicle Administrators (AAMVA) State Procedures Manual and to comply with the requirements of the federal [Anti Car Theft Improvements Act of 1996](#).

NMVTIS pricing must be independent of all other requirements specified in this ITB.

Exhibit A – 16 System Support

The system support plan will include a 24-hour toll-free number and knowledgeable support by vendor support staff to handle any queries posed by the DA's or ADOR.

In order to maintain the mutually agreed upon service levels for this project, including a 24 X 7 operations center, the vendor will allocate the following initial staff to support the Web Based Title Application System:

- Project Manager is responsible for the overall management of the daily operations, producing the necessary status reports, accounting and financial reports, informational analysis, and management reporting. This position would also be responsible for managing the change control and issues management processes.
- Technical Support is responsible for systems monitoring, backup procedures, and ensuring physical and logical security of the facility and systems.
- Help Desk is responsible for handling inquiries made by the DA's and ADOR.